



Department of Defense DIRECTIVE

NUMBER 5015.2

April 11, 1997

ASD(C3I)

SUBJECT: DoD Records Management Program

References: (a) DoD Directive 5015.2, "Records Management Program," March 22, 1991 (hereby canceled)

- (b) Title 36, Code of Federal Regulations, Chapter XII, "National Archives and Records Administration," Subchapter B, "Records Management," current edition
- (c) DoD 5025.1-M, "DoD Directives System Procedures," August 1994, authorized by DoD Directive 5025.1, June 24, 1994
- (d) Chapters 29, 31, 33, and 35 of title 44, United States Code
- (e) DoD 5400.11-R, "Department of Defense Privacy Program," August 1983, authorized by DoD Directive 5400.11, June 9, 1982
- (f) DoD Directive 5100.3, "Support of the Headquarters of Unified, Specified, and Subordinate Joint Commands," November 1, 1988

1. REISSUANCE AND PURPOSE

This Directive:

1.1. Reissues reference (a) establishing responsibility for the DoD Records Management Program, in accordance with reference (b), under the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I));

1.2. Updates policy and responsibilities for life-cycle management (creation, maintenance and use, and disposition) of information as records in all media, including electronic; and

1.3. Authorizes the publication of implementing and procedural guidance on the management of records in the Department of Defense, consistent with references (b),

(c), and (d).

2. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense (OSD), the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Inspector General of the Department of Defense, the Defense Agencies, and the DoD Field Activities (hereafter referred to collectively as “the DoD Components”).

3. DEFINITIONS

Terms used in this Directive are defined in enclosure 1.

4. POLICY

It is DoD policy to:

4.1. Create, maintain, and preserve information as records, in any media, that document the transaction of business and mission in wartime and peacetime to provide evidence of DoD Component organization, functions, policies, procedures, decisions, and activities as provided in Chapter XII of 36 CFR and Chapters 29, 31, 33, and 35 of 44 U.S.C. (references (b) and (d));

4.2. Manage records effectively and efficiently in compliance with this Directive and references (b) and (d), while protecting the legal and financial rights and interests of the Government and of persons affected by the Government’s activities; and

4.3. Manage all records in any media used for creation or storage, in accordance with approved records schedules.

5. RESPONSIBILITIES

5.1. The Assistant Secretary of Defense for Command, Control, Communications, and Intelligence shall:

5.1.1. Issue guidance to implement this Directive and references (b) and (d), and address the following:

5.1.1.1. Policy necessary to establish, manage and maintain an active and continuing DoD Records Management Program under references (b) and (d); and

5.1.1.2. Procedures applicable to the creation, maintenance, use, preservation, and disposal of all records, in any storage medium, in compliance with references (b) and (d).

5.1.2. Improve and reengineer DoD records management to enable OSD Principal Staff Assistants and the Chairman of the Joint Chiefs of Staff to manage information in records in their functional areas more effectively and efficiently.

5.1.3. Require the Defense Information Systems Agency to:

5.1.3.1. Establish and maintain a capability to test and evaluate automated records management information systems against legal, Agency-wide, and user requirements;

5.1.3.2. Establish and maintain a test and evaluation program for certifying automated records management information systems that meet the standard functional and automated system requirements for records management;

5.1.3.3. Review and coordinate all recommendations for changes to the DoD design criteria standard for records management functional baseline requirements, before approval by the Deputy Assistant Secretary of Defense (Command, Control and Communications); and

5.1.3.4. Establish and maintain a register of automated records management products that have been certified as meeting the standard functional and automated system requirements. Ready access to this register shall be provided to all DoD records management personnel.

5.2. The OSD Principal Staff Assistants and the Chairman of the Joint Chiefs of Staff shall:

5.2.1. Determine commonality of information in functional records management processes across the DoD Components to ensure information is available to support the warfighter.

5.2.2. Simplify and streamline records management within the Department of Defense by ensuring application of the principles and policies in section 4., above.

5.2.3. Evaluate, improve, implement, and execute DoD records management policies and procedures to ensure that functional management, control, oversight, and leadership are demonstrated during the life-cycle management of DoD records.

5.3. The Head of each DoD Component shall:

5.3.1. Establish and maintain the DoD Records Management Program at an organizational level of sufficient authority to ensure that the objectives and policies of this Directive and Chapters 29, 31, 33, and 35 of 44 U.S.C. (reference (d)) are efficiently and effectively implemented; and designate an individual to administer the DoD Records Management Program.

5.3.2. Apply standards, procedures, and techniques designed to improve the management of records, ensuring that records are:

5.3.2.1. Created, maintained, and preserved to document the organization, functions, policies, decisions, procedures, and essential operational, logistical, and support transactions of the Department of Defense as provided in 36 CFR XII and 44 U.S.C. 29, 31, 33, and 35 (references (b) and (d)) and DoD implementing Instructions and Publications; and

5.3.2.2. Created, maintained, and preserved to provide the information necessary to protect the legal and financial rights of the Government and of persons directly affected by DoD activities.

5.3.3. Use the most economical, efficient, and reliable means for creation, retrieval, maintenance, preservation, and disposition of records in any media.

5.3.4. Improve the management, maintenance, and security of records in coordination with OSD Principal Staff Assistants and the Chairman of the Joint Chiefs of Staff.

5.3.5. Apply DoD records management functional and system requirements to all electronic records management systems.

5.3.6. Incorporate records management requirements into automated information systems development and redesign.

5.3.7. Ensure proper training of all personnel that create and use records to ensure compliance with this Directive and references (b) and (d).

5.3.8. Advise all employees at least annually:

5.3.8.1. Of their responsibility to create and maintain records;

5.3.8.2. How to identify records and distinguish them from non-record materials;

5.3.8.3. Not to remove records from Government custody or destroy them, except as required or allowed under authorized record schedules;

5.3.8.4. How to inform appropriate officials of any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records; and

5.3.8.5. To identify personal papers and maintain them separately from organizational records, in compliance with reference (b).

5.3.9. Ensure prompt retirement or disposal of temporary records and the timely transfer of permanently valuable records under authorized record schedules.

5.3.10. Periodically evaluate the Components' compliance with the DoD Records Management Program and 36 CFR XII (reference (b)).

5.3.11. Advise the ASD(C3I) of records management issues that could have broad implications across the Department of Defense or between the Department of Defense and other Government Agencies, and fully cooperate with the ASD(C3I) in resolving these issues.

5.3.12. Safeguard all personal data within records, in accordance with DoD 5400.11-R (reference (e)).

5.4. The Secretaries of the Military Departments, in addition to the responsibilities in subsection 5.3., above, shall:


5.4.1. Provide guidance, training, assistance, and support to the Combatant Commands for the DoD Records Management Program in their area of responsibility, as outlined in DoD Directive 5100.3 (reference (f)).

5.4.2. Conduct periodic reviews of programs referred to in paragraph 5.4.1., above; ensure all records are scheduled as provided in reference (b), and 44 U.S.C. 29, 31, 33, and 35 (reference (d)) and implementing DoD Instructions and

Publications; and provide a written summary of the results of the reviews to the ASD(C3I). These reviews shall not be at the option of the Combatant Commanders or the other activities involved.

6. EFFECTIVE DATE

This Directive is effective immediately.



John P. White
Deputy Secretary of Defense

Enclosures - 1

1. Definitions

E1. ENCLOSURE 1

DEFINITIONS

E1.1.1. Agency. Includes the DoD Components and, any military, civilian or contractor personnel conducting operational, logistical, or support transactions anywhere within the DoD Components.

E1.1.2. Nonrecord. As defined in 36 CFR 1222.34 (reference (b)) “Nonrecord materials are those Federally owned informational materials that do not meet the statutory definition of records (Section 3301 of reference (d)) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.”

E1.1.3. Record. As defined, in part, in Section 3301 of reference (d), “Records include all books, papers, maps, photographs, machine-readable materials, and other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them.” A record covers information in any medium, and includes operational logistics, support and other materials created or received by the DoD Components in training, contingency, and wartime operations as well as in all routine and peacetime business.

E1.1.4. Records Management. As defined in Section 2901 of reference (d), “records management means the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.”